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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number		10809163	
	Filing Date		2004-03-25	
	First Named Inventor	Joshua T. Goodman		
	Art Unit	2131		
	Examiner Name	Unknown		
	Attorney Docket Number	MS305314.01/MSFTP596US		

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/F.T./	2	7051077		2006-05-23	Lin		
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/F.T./	3	20040148330		2004-07-29	Alspector, et al.	
/F.T./	4	20040255122		2004-12-16	Ingerman, et al.	
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/F.T./	6	20030191969		2003-10-09	Katsikas	
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/F.T./	8	20050091321		2005-04-28	Daniell, et al.	
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/F.T./	1	Federal Trade Commission. "False Claims in Spam"; A report by the FTC's division of marketing practices, April 30, 2003, <a href="http://www.ftc.gov/reports/spam/030429spamreport.pdf">http://www.ftc.gov/reports/spam/030429spamreport.pdf</a>	<input type="checkbox"/>
/F.T./	2	HANSELL. "Internet is losing ground in battle against spam", The New York Times: Technology section, 22 April 2003, 2003.	<input type="checkbox"/>

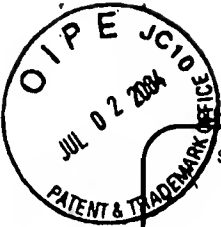
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Sheet 1 of 2

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Application Number	10/809,163
Filing Date	March 25, 2004
First Named Inventor	Joshua T. Goodman
Art Unit	2131
Examiner Name	Unknown
Attorney Docket Number	MS305314.1/MSFTP596US

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/E.T./		US- 6,732,149	05-04-2004	Kephart	
/E.T./		US- 6,728,690	04-27-2004	Meek et al.	
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/E.T./		US- 6,161,130	12-12-2000	Horvitz et al.	
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/F.T./		KEVIN R. GEE, Using Latent Semantic Indexing to Filter Spam, SAC 2003, 2003, pp. 460-464, Melbourne, Florida, USA.	
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/F.T./		THORSTEN JOACHIMS. Transductive Inference for Text Classification using Support Vector Machines. Proceedings of the 16th International Conference on Machine Learning, 1999. 10 pages.	

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Sheet	3	of	7	Attorney Docket Number	MS305314.1/MSFTP596US

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/F.T./		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages.	
/F.T./		DAVID D. LEWIS, et al.; "A Comparison of Two Learning Algorithms for Text Categorization"; Third Annual Symposium on Document Analysis and Information Retrieval; April 11-13, 1994; pp. 81-93.	
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/F.T./		WILLIAM W. COHEN; "Learning Rules that Classify E-Mail"; In the Proceedings of the 1996 AAAI Spring Symposium on Machine Learning in Information Access. Downloaded from William Cohen's web page: <a href="http://www.research.att.com/nwcohen/pubs.html">http://www.research.att.com/nwcohen/pubs.html</a> .	

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		Application Number	10/809,163		
		Filing Date	March 25, 2004		
		First Named Inventor	Joshua T. Goodman		
		Art Unit	2131		
		Examiner Name	Unknown		
Sheet	4	of	7	Attorney Docket Number	MS305314.1/MSFTP596US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/F.T./		MAKOTO IWAYAMA, et al., Hierarchical Bayesian Clustering for Automatic Text Classification, Natural Language, 1995, pp. 1322-1327.	
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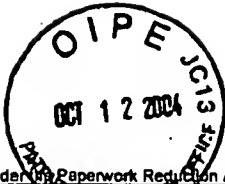
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				Application Number	10/809,163
				Filing Date	March 25, 2004
				First Named Inventor	Joshua T. Goodman
				Art Unit	2131
				Examiner Name	Unknown
Sheet	5	of	7	Attorney Docket Number	MS305314.1/MSFTP596US

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/F.T./		DAVID MADIGAN, Statistics and The War on Spam, Rutgers University, pp. 1-13, 2003.	
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/F.T./		J.D.M. RENNIE. ifile: An Application of Machine Learning to E-Mail Filtering, Proceedings of the KDD-2000 Workshop on Text Mining, Sixth ACM SIGKDD International Conference on Knowledge Discovery and Data Mining, 2000. 6 pages.	

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				Application Number	10/809,163	
Sheet		7	of	7	Examiner Name	Unknown
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Sheet 1 of 7

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Application Number	10/809,163
Filing Date	March 25, 2004
First Named Inventor	Joshua T. Goodman
Art Unit	2131
Examiner Name	Unknown
Attorney Docket Number	MS305314.1/MSFTP596US

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/F.T./		US- 6,779,021	08-17-2004	Bates et al.	
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/F.T./		US- 2002/0059425	05-16-2002	Belfiore et al.	

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				Application Number	10/809,163
				Filing Date	March 25, 2004
				First Named Inventor	Joshua T. Goodman
				Art Unit	2131
				Examiner Name	Unknown
Sheet	4	of	7	Attorney Docket Number	MS305314.1/MSFTP596US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/F.T./		MAKOTO IWAYAMA, et al., Hierarchical Bayesian Clustering for Automatic Text Classification, Natural Language, 1995, pp. 1322-1327.	
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/F.T./		DAPHNE KOLLER, et al, Toward Optimal Feature Selection, Machine Learning Proc. of the Thirteenth International Conference, Morgan Kaufmann, 1996, 9 pages.	
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/F.T./		RICHARD B. SEGAL, et al., SwifFile: An Intelligent Assistant for Organizing E-Mail, In Proceedings of the Third International Conference on Autonomous Agents, May 1999, 7 pages.	
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		Examiner Name	Unknown		
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/F.T./		LORRIE FAITH CRANOR, et al., Spam!, Communications of the ACM, 1998, pp. 74-83, Vol. 41-No. 8.	

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/F.T./		P.Y. SIMARD, et al., Using Character Recognition and Segmentation to Tell Computer from Humans, International Conference on Document Analysis and Recognition (ICDAR), IEEE Computer Society, 2000, pp. 418-423.	
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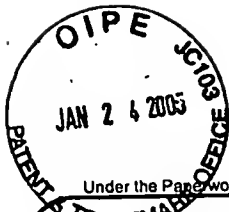
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/F.T./		European Search Report, EP31087TE900, mailed 11-11-04	
/F.T./		J. BYRNE, My Spamblock, Google, January 19, 1997, 2 pages	
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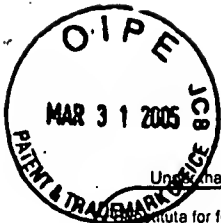
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/F.T./		YU WU, et al., A New Anti-Spam Filter Based on Data Mining and Analysis of Email Security, Conference Proceedings of the SPIE, Data Mining and Knowledge Discovery Theory, Tools and Technology V, vol. 5098, 21 April 2003, pp. 147-154, Orlando, FL, USA	
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Examiner Name			
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/F.T./		US- 6,074,942	Stockwell, et al.	06-06-2000	
/F.T./		US- 6,199,102	Cobb	03-08-2001	
/F.T./		US- 6,477,551	Johnson, et al.	11-05-2002	
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/F.T./	US-	6,971,023	11-29-2005	Martinson, et al.	
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Not for submission under 37 CFR 1.99)	Application Number		10809163	
	Filing Date		2004-03-25	
	First Named Inventor	Joshua Goodman		
	Art Unit	2131		
	Examiner Name			
	Attorney Docket Number	MS305314.01/MSFTP596US		

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/F.T./	1	20030041126		2003-02-27	Buford, et al.	
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/F.T./	1	European Search Report dated April 6, 2006 and mailed April 6, 2006 for EP 04102242, 3 pages.	<input type="checkbox"/>
/F.T./	2	GRAHAM. "The Future of SPAM" (2003) Computer Journal, CSI Computer Security Institute, vol. 19, no. 1, 6 pages.	<input type="checkbox"/>

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/F.T./	2	6314421		2001-11-06	Sharnoff, et al.	
/F.T./	3	6421709		2002-07-16	McCormick, et al.	
/F.T./	4	6321267		2001-11-20	Albert L. Donaldson	
/F.T./	5	6701440		2004-03-02	Kim, et al.	
/F.T./	6	6167434		2000-12-26	Stephen Y. Pang	
/F.T./	7	6732157		2004-05-04	Gordon, et al.	
/F.T./	8	6643686		2003-11-04	Robert J. Hall	

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/F.T./	2	20040177120	A1	2004-09-09	Steven T. Kirsch	
/F.T./	3	20030167311	A1	2003-09-04	Steven T. Kirsch	
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	Filing Date	03-25-04
	First Named Inventor	Joshua T. Goodman
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Sheet 1 of 2	Attorney Docket Number	MS305314.01/MSFTP596US

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/E.T./		US- 6,453,327	09-17-2002	Nielsen	
/E.T./		US- 6,757,830	06-29-2004	Tarbotton, et al.	
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		First Named Inventor	Joshua T. Goodman		
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/F.T./		Partial European Search Report, EP05100847, mailed 05-21-05, 5 pages.	
/F.T./		European Search Report, dated June 9, 2005, mailed August 22, 2005 for European Patent Application Serial No. EP04011978, 12 pages.	

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	Art Unit	2131
	Examiner Name	
	Attorney Docket Number	MS305314.01/MSFTP596US

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Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	
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/F.T./	1	20020199095		2002-12-00	Bandini, et al.		
/F.T./	2	20030204569		2003-10-00	Andrews, et al.		
/F.T./	3	20030009698		2003-01-00	Lindeman, et al.		

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Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup> i	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
	1							<input type="checkbox"/>

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number	10809163
	Filing Date	2004-03-25
	First Named Inventor	Joshua Goodman
	Art Unit	2131
	Examiner Name	
	Attorney Docket Number	MS305314.01/MSFTP596US

If you wish to add additional Foreign Patent Document citation information please click the Add button

**NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
	1		<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

**EXAMINER SIGNATURE**

Examiner Signature	/Fatoumata Traore/	Date Considered	09/20/2007
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number	10809163
	Filing Date	2004-03-25
	First Named Inventor	Joshua T. Goodman
	Art Unit	2131
	Examiner Name	Unknown
	Attorney Docket Number	MS305314.01/MSFTP596US

NON-PATENT LITERATURE DOCUMENTS			Remove
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
	1		<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

**EXAMINER SIGNATURE**

Examiner Signature	/Fatoumata Traore/	Date Considered	09/20/2007
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<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number	10809163
	Filing Date	2004-03-25
	First Named Inventor	Joshua T. Goodman
	Art Unit	2131
	Examiner Name	Unknown
	Attorney Docket Number	MS305314.01/MSFTP596US

**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

**OR**

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

- See attached certification statement.
- Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
- None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Himanshu S. Amin/	Date (YYYY-MM-DD)	2007-08-23
Name/Print	Himanshu S. Amin	Registration Number	40894

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

## Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number	10809163
	Filing Date	2004-03-25
	First Named Inventor	Joshua T. Goodman
	Art Unit	2131
	Examiner Name	
	Attorney Docket Number	MS305314.01/MSFTP596US

**CERTIFICATION STATEMENT**

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**OR**

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- See attached certification statement.
- Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
- None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Himanshu S. Amin/	Date (YYYY-MM-DD)	2007-03-19
Name/Print	Himanshu S. Amin	Registration Number	40894

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3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
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6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number	10809163
	Filing Date	2004-03-25
	First Named Inventor	Joshua T. Goodman
	Art Unit	2131
	Examiner Name	Unknown
	Attorney Docket Number	MS305314.01/MSFTP596US

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- None

**SIGNATURE**

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Signature	/Himanshu S. Amin/	Date (YYYY-MM-DD)	2007-05-10
Name/Print	Himanshu S. Amin	Registration Number	40894

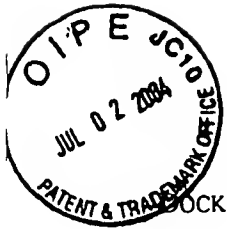
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9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.



ifw

BUCKET NO.: MS305314.1/MSFTP596US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of

Applicant: **Joshua T. Goodman, et al.**  
Serial No.: **10/809,163**  
Filed: **March 25, 2004**  
For: **TRAINING FILTERS FOR IP ADDRESS AND URL LEARNING**  
Art Unit: **2131**  
Examiner: **Unknown**

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Alexandria, Virginia 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120; or (c) U.S. Patent(s) and published applications(s) since the subject application was filed after June 30, 2003.

Serial No.: 10/454,168 \_\_\_\_\_  
Filing Date: 6/4/03 \_\_\_\_\_

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a)  Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b)  Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a)  Within 3 months of the filing date or date of entry into the National Stage.
- (b)  Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.

(c) \_\_\_ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) \_\_\_ The required certification is given below, or

(2) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or

(3) \_\_\_ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1063.

(d) \_\_\_ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

(2) \_\_\_ Charge the fee set forth in 37 C.F.R. 1.17(i)(1) to Deposit Account No. 50-1063.


4. Certification (if applicable)

(a) \_\_\_ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) \_\_\_ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

By   
Jeffrey R. Sadlowski  
Reg. No. 47,914

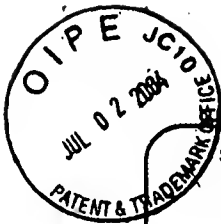
24<sup>TH</sup> Floor, National City Center  
1900 East 9<sup>th</sup> Street  
Cleveland, Ohio 44114  
(216) 696-8730

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Alexandria, Virginia 22313-1450.

Date: 6-28-2004

  
Jeffrey R. Sadlowski



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>		Application Number	10/809,163
		Filing Date	March 25, 2004
		First Named Inventor	Joshua T. Goodman
		Art Unit	2131
		Examiner Name	Unknown
Sheet 1 of 2	Attorney Docket Number	MS305314.1/MSFTP596US	

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 6,732,149	05-04-2004	Kephart	
		US- 6,728,690	04-27-2004	Meek et al.	
		US- 6,691,156	02-10-2004	Drummond et al.	
		US- 6,684,201	01-27-2004	Brill et al.	
		US- 6,592,627	07-15-2003	Agrawal et al.	
		US- 6,484,197	11-19-2002	Donohue	
		US- 6,424,997	11-23-2002	Buskirk Jr. et al.	
		US- 6,266,692	07-24-2001	Greenstein	
		US- 6,192,360	02-20-2001	Dumais et al.	
		US- 6,161,130	12-12-2000	Horvitz et al.	
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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>2</sup>
		Country Code <sup>3</sup> *Number <sup>4</sup> *Kind Code <sup>5</sup> (if known)				

Examiner Signature	/Fatoumata Traore/	Date Considered	03/28/2008
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\*EXAMINER: Initial reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinda Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 801.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.  
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Substituta for form 1449/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				Application Number	10/809,163
				Filing Date	March 25, 2004
				First Named Inventor	Joshua T. Goodman
				Art Unit	2131
				Examiner Name	Unknown
Sheet	2	of	2	Attorney Docket Number	MS305314.1/MSFTP596US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		KEVIN R. GEE, Using Latent Semantic Indexing to Filter Spam, SAC 2003, 2003, pp. 460-464, Melbourne, Florida, USA.	
		FABRIZIO SEBASTIANI. Machine Learning in Automated Text Categorization. ACM Computing Surveys, Vol. 34 Issue 1, pp. 1-47, 2002.	
		i. ANDROUTSOPOULOS, et al., Learning to Filter Spam E-mail: A Comparison of a Naive Bayesian and a Memory-based Approach, PKDD-2000, September 2000, 13 pages, Lyon, France.	
		THORSTEN JOACHIMS. Transductive Inference for Text Classification using Support Vector Machines. Proceedings of the 16th International Conference on Machine Learning, 1999. 10 pages.	

Examiner Signature	/Fatoumata Traore/	Date Considered	03/28/2008
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH: /F.T./



IFW

DOCKET NO. 2004-305314.1/MSFTP596US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of

Applicant: **Joshua T. Goodman, et al.**  
Serial No.: **10/809,163**  
Filed: **March 25, 2004**  
For: **TRAINING FILTERS FOR IP ADDRESS & URL LEARNING**  
Art Unit: **2131**  
Examiner: **Unknown**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

05/10/2007  
07/02/2004

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: \_\_\_\_\_  
Filing Date: \_\_\_\_\_

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- (b) \_\_\_ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) \_\_\_ Within 3 months of the filing date or date of entry into the National Stage.
- (b) X Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in

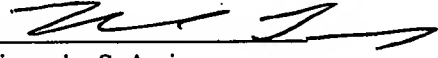


- the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R.
- (c) \_\_\_ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.
- (1) \_\_\_ The required certification is given below, or
- (2) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement.
- (d) \_\_\_ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.
- (1) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

4. Certification (if applicable)

- (a) \_\_\_ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
- (b) \_\_\_ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

Respectfully Submitted,  
AMIN & TUROCY, LLP

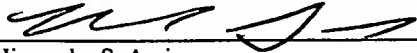
By   
Himanshu S. Amin  
Reg. No. 40,894

AMIN & TUROCY, LLP  
24<sup>TH</sup> Floor, National City Center  
1900 E. 9<sup>th</sup> Street  
Cleveland, Ohio 44114

CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450.

Date: 10-8-04

  
Himanshu S. Amin

IFW



DOCKET NO. MS305314.1/MSFTP596US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of

Applicant: **Joshua T. Goodman, et al.**  
Serial No.: **10/809,163**  
Filed: **March 25, 2004**  
For: **TRAINING FILTERS FOR IP ADDRESS & URL LEARNING**  
Art Unit: **2131**  
Examiner: **Unknown**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: 10,454,168  
Filing Date: 6/4/2003

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

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- the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R.
- (c) \_\_\_ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.
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Respectfully Submitted,  
AMIN & TUROCY, LLP

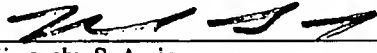
By   
Himanshu S. Amin  
Reg. No. 40,894

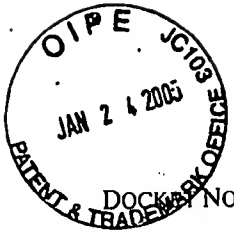
AMIN & TUROCY, LLP  
24<sup>TH</sup> Floor, National City Center  
1900 E. 9<sup>th</sup> Street  
Cleveland, Ohio 44114

CERTIFICATE OF MAILING

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Date: 10-19-04

  
Himanshu S. Amin



IFW

DOCKET NO.: MS305314.01/MSFTP596US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of

Applicant: **Joshua T. Goodman, et al.**  
Serial No.: **10/809,163**  
Filed: **March 25, 2004**  
For: **TRAINING FILTERS FOR IP ADDRESS AND URL LEARNING**  
Art Unit: **2131**  
Examiner: **Unknown**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120; or (c) U.S. Patent(s) and published applications(s) since the subject application was filed after June 30, 2003.

Serial No.: 10/454,168 \_\_\_\_\_  
Filing Date: 6/4/03 \_\_\_\_\_

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

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(c)  After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1)  The required certification is given below, or

(2)  Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or

(3)  Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1063.

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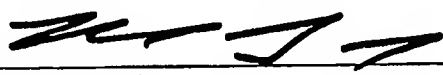
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5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,


By   
Hmanshu S. Amin  
Reg. No. 40,894

24<sup>TH</sup> Floor, National City Center  
1900 East 9<sup>th</sup> Street  
Cleveland, Ohio 44114  
(216) 696-8730

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Date: 1-18-05

  
Himanshu S. Amin

IPW



DOCKET NO.: MS305314.01/MSFTP596US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In patent application of

Applicant: **Joshua T. Goodman, et al.**  
Serial No.: **10/809,163**  
Filed: **March 25, 2004**  
For: **TRAINING FILTERS FOR IP ADDRESS AND URL LEARNING**  
Art Unit: **2131**  
Examiner: **Unknown**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120; or (c) U.S. Patent(s) and published applications(s) since the subject application was filed after June 30, 2003.

Serial No.: 10/454,168 \_\_\_\_\_  
Filing Date: 6/4/03 \_\_\_\_\_

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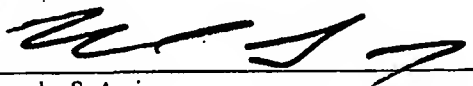
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Respectfully Submitted,

By


  
Himanshu S. Amin  
Reg. No. 40,894

24<sup>TH</sup> Floor, National City Center  
1900 East 9<sup>th</sup> Street  
Cleveland, Ohio 44114  
(216) 696-8730

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Date: 3-28-05

  
Himanshu S. Amin

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OCT 24 2005

DOCKET NO.: MS305314.01/MSFTP596US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: Joshua T. Goodman  
Serial No.: 10/809,163  
Filed: March 25, 2004  
For: TRAINING FILTERS FOR IP ADDRESS AND URL LEARNING  
Art Unit: 2131  
Examiner: Unknown

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

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Serial No.: 10/454,168  
Filing Date: June 4, 2003

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- (c)  Before the mailing date of an Office Action after the filing of a request for continued examination under 1.114.




- (d)  After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a notice of allowance.
  - (1)  The required certification is given below, or
  - (2)  Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement :
    - (i)  Enclosed is a check covering the fee;
    - (ii)  Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or
    - (iii)  Enclosed is a credit card payment form covering the fee.
- (e)  After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below. Regarding the fee set forth in 37 C.F.R. §1.17(i)(1) for consideration of this Statement:
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- (b)  The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

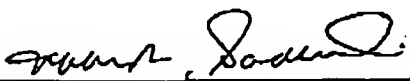
By   
 Jeffrey R. Sadlowski  
 Reg. No. 47,914

Amin & Turocy, LLP  
 24<sup>TH</sup> Floor, National City Center  
 1900 East 9<sup>th</sup> Street  
 Cleveland, Ohio 44114  
 (216) 696-8730

CERTIFICATE OF FACSIMILE

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being faxed to 571-273-8300 on the date shown below to Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

10-24-2005  
 Date

  
 Jeffrey R. Sadlowski

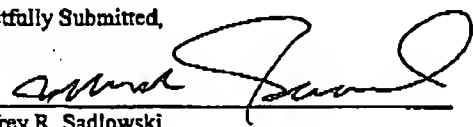
- (d)  After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a notice of allowance.
  - (1)  The required certification is given below, or
  - (2)  Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement :
    - (i)  Enclosed is a check covering the fee;
    - (ii)  Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or
    - (iii)  Enclosed is a credit card payment form covering the fee.
- (e)  After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below. Regarding the fee set forth in 37 C.F.R. §1.17(i)(1) for consideration of this Statement:
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1-20-2006  
 Date

  
 Rebecca Stanford

JAN 20 2006

DOCKET NO.: MS305314.01/MSFTP596US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: Joshua Goodman, et al.  
 Serial No.: 10/809,163  
 Filed: 03-25-2004  
 For: TRADING FILTERS FOR ADDRESS AND URL LEARNING  
 Art Unit: 2131  
 Examiner: Unknown

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications; (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published applications(s).

Serial No.: 10/454,168  
 Filing Date: 06-04-2003

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a)  Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b)  Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. §1.97(b) this Statement is being filed (one must be checked):

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- (b)  Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.
- (c)  Before the mailing date of an Office Action after the filing of a request for continued examination under 1.114.

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FEB 27 2006

DOCKET NO.: MS305314.01/MSFTP596US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: Joshua Goodman, et al.  
Serial No.: 10/809,163  
Filed: 03-25-2004  
For: TRADING FILTERS FOR ADDRESS AND URL LEARNING  
Art Unit: 2131  
Examiner: Unknown

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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Respectfully Submitted,

By   
 Himanshu S Amin  
 Reg. No. 40,894

Amin & Turocy, LLP  
 24<sup>TH</sup> Floor, National City Center  
 1900 East 9<sup>th</sup> Street  
 Cleveland, Ohio 44114  
 (216) 696-8730

**CERTIFICATE OF FACSIMILE**

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2-27-2006  
 Date

  
 Rebecca Stanford

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MAR 21 2006

DOCKET NO.: MS305314.01/MSFTP596US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of.

Applicant: Joshua Goodman, et al.  
Serial No.: 10/809,163  
Filed: 03-25-2004  
For: TRADING FILTERS FOR ADDRESS AND URL LEARNING  
Art Unit: 2131  
Examiner: Unknown

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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MAR 21 2006


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Respectfully Submitted,

By   
Himanshu S. Amin  
Reg. No. 40,894

Amin & Turocy, LLP  
24<sup>TH</sup> Floor, National City Center  
1900 East 9<sup>th</sup> Street  
Cleveland, Ohio 44114  
(216) 696-8730

CERTIFICATE OF FACSIMILE

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\_\_\_\_\_  
Date March 21, 2006

  
Himanshu S. Amin

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number	10809163
	Filing Date	2004-03-25
	First Named Inventor	Joshua Goodman
	Art Unit	2131
	Examiner Name	
	Attorney Docket Number	MS305314.01/MSFTP596US

**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

**OR**

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

- See attached certification statement.
- Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
- None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Himanshu S. Amin/	Date (YYYY-MM-DD)	2006-05-11
Name/Print	Himanshu S. Amin	Registration Number	40894

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**



## Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number	10809163
	Filing Date	2004-03-25
	First Named Inventor	Joshua Goodman
	Art Unit	2131
	Examiner Name	
	Attorney Docket Number	MS305314.01/MSFTP596US

**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

**OR**

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

- See attached certification statement.
- Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
- None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Himanshu S. Amin/	Date (YYYY-MM-DD)	2006-07-31
Name/Print	Himanshu S. Amin	Registration Number	40894

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3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
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7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
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5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10809163
Filing Date	2004-03-25
First Named Inventor	Joshua T. Goodman
Art Unit	2131
Examiner Name	Unknown
Attorney Docket Number	MS305314.01/MSFTP596US

**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

**OR**

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

- See attached certification statement.
- Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
- None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Himanshu S. Amin/	Date (YYYY-MM-DD)	2006-11-29
Name/Print	Himanshu S. Amin	Registration Number	40894

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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Signature	/Himanshu S. Amin/	Date (YYYY-MM-DD)	2006-11-07
Name/Print	Himanshu S. Amin	Registration Number	40894

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

## Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
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